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ORGANIZATIONAL EFFECTIVENESS CASE DEVELOPMENT MANUAL

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LEADERSHIP AND MANAGEMENT TECHNICAL AREA

OCTOBER 1980

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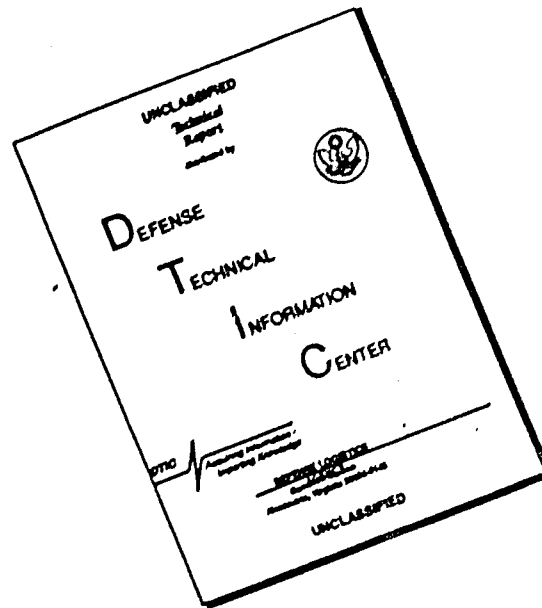


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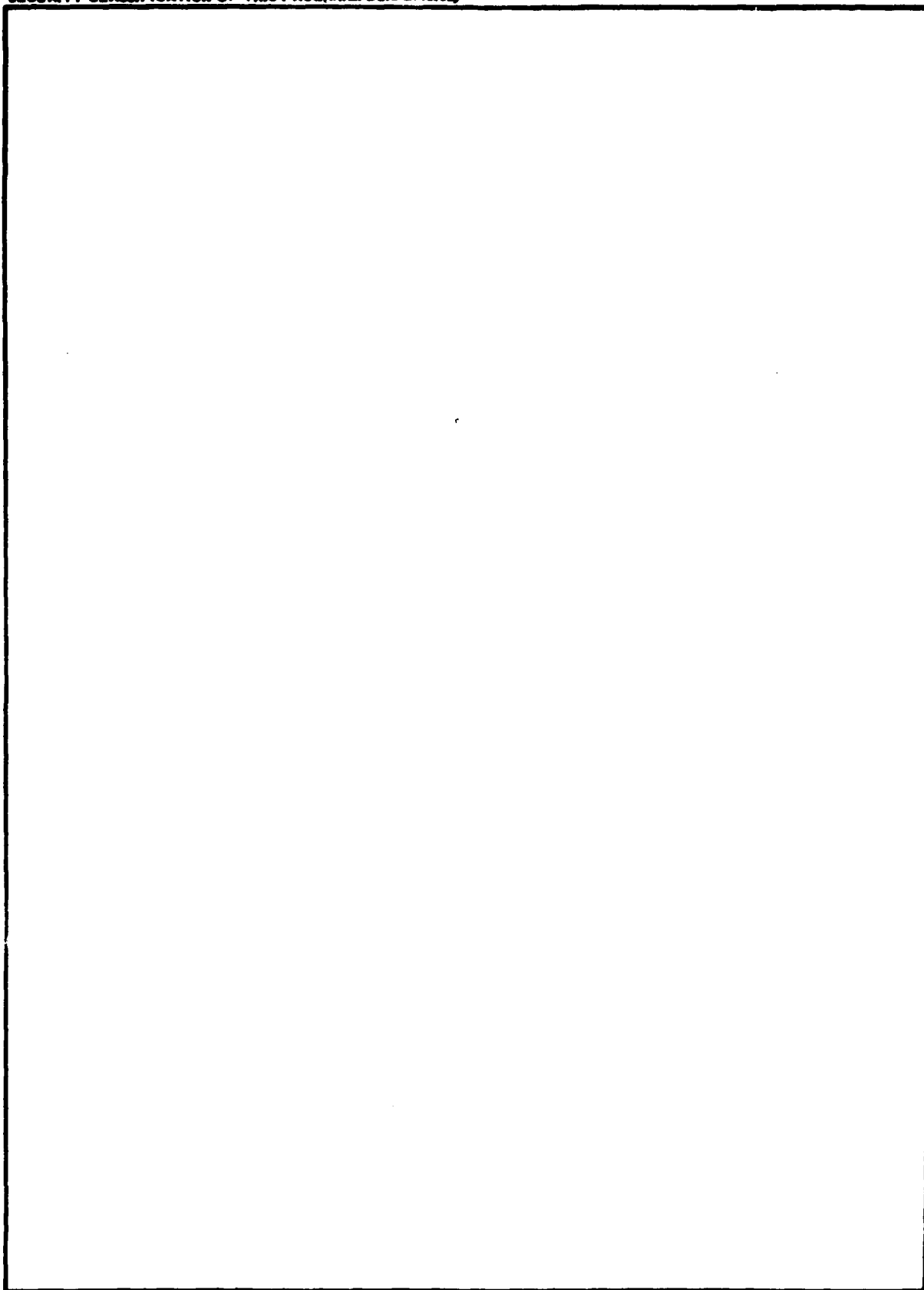
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20. ABSTRACT (Continue on reverse side if necessary and identify by block number) The manual is a guide for developing Organizational Effectiveness (OE) case studies. Two points are stressed: the techniques of obtaining and recording data, and the writing of the case in the most efficient and effective way. The manual is divided into three main sections: (1) on the issues of client system sanction, confidentiality, and anonymity; (2) on the problems of gathering, recording, and cataloging case data; and (3) guidelines for writing a primary Documentation Case and additional Teaching Cases.		

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**Research Product 80-26**

# ORGANIZATIONAL EFFECTIVENESS CASE DEVELOPMENT MANUAL

James Bedoian, Larry E. Greiner, Charles P. Schaefer,  
Warren H. Schmidt, Stanley R. Weingart  
System Development Corporation

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## LEADERSHIP AND MANAGEMENT TECHNICAL AREA

**U.S. ARMY RESEARCH INSTITUTE FOR THE BEHAVIORAL AND SOCIAL SCIENCES**  
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## OE Technology Development

**Approved for public release; distribution unlimited.**

## FOREWORD

The Leadership and Management Technical Area of the US Army Research Institute is primarily involved in applying the principles of organizational effectiveness (OE) to the Army, thereby developing new technology for use by Organizational Effectiveness Staff and Non-Commissioned Officers (OESOs and OENCOs). The development of a coherent and uniform case study methodology will enhance the retrieval of OE information by OESOs, key managers, and commanders.

This manual presents OESOs with a step-by-step approach on how to document organizational interventions using a case study methodology. It was developed by the System Development Corporation under Contract DAHCl9-78-C-0008 with guidance from ARI personnel, as part of Army Project 2Q163731A781. The Deputy Chief of Staff for Personnel is the sponsor.

  
JOSEPH ZEIDNER  
Technical Director

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## CHAPTER I. INTRODUCTION

This manual is intended primarily for use by Army Organizational Effectiveness Staff Officer (OESOs). It is also for the use of Army behavioral science researchers, civilian consultants, or others who may be involved in documenting Army Organizational Effectiveness (OE) activities by preparing OE case studies. It is a guide to both the vitally important task of capturing and documenting relevant data for the case study and the equally important task of writing up the case in a manner that maximizes its usefulness to you and others. The manual is written under the assumption that a case study is not a "cost free" endeavor. That is, a case researcher is primarily on site to develop the case study, though he or she may also share consultant responsibilities in all or part of the OE episode to be documented. Because of the effort required, it is strongly suggested that case study development is not undertaken by an OESO working alone.

PURPOSE OF CASE STUDIES

The Army recognizes a positive need for good case studies of Army OE episodes. The intent is simply the documentation of an important set of activities within the Army. From this goal flow three objectives:

1. To provide a way to share experiences and lessons learned throughout the OE community in a relatively convenient and systematic manner.
2. To provide evidence in support of the value of OE to the Army.

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3. To develop a data base for research aimed at identification of the relationships between the various OE activities and resultant organization changes.

Like many applied behavioral science disciplines, OE often produces positive outcomes which are not immediately perceptible to persons unfamiliar with this field. Successes achieved through OE applications are likely to go unheralded unless evidence is recorded, documented, and made available for assessment. While a load of shared case studies will be beneficial to your professional growth, as an assessment tool it might not have an immediate payoff for you as an OE practitioner. However, it can certainly influence the success of OE as perceived within the Army at large and favorable perception of OE may ultimately prove to be a precondition to the continued support of this discipline within the Army.

#### WHAT IS AN OE CASE?

An OE case study is basically the documentation of a case history or life history of an Army OE planned change episode. The primary product is an OE Documentation Case. In one sense, a case study may be compared to a journalist coverage of that OE episode. Like the journalist, the case writer provides a description of the total observed situation or some carefully specified aspect of the total situation. He or she is reporting an OE episode while it is happening. Like the journalistic effort, the test of the descriptive quality of a case study is the accuracy with which the products reflect the situation described. This description is not intended to present or define an issue, to prove or disprove some hypothesis, or to illustrate a particular principle. It is focused in the present and on the forces at work in the present as the OE episode is

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occurring. An OE episode presented in this way preserves the complexity of the actual situation for study and analysis by others at any subsequent time.

The OE Documentation Case goes one step beyond the journalistic report, however, it also provides the case writer's and/or the OE practitioner's analysis of the episode. This includes the case writer's or OE practitioner's perspective of the forces operating in the situation and his or her interpretations of the links between aspects and outcomes of the situation. At a minimum, it raises significant questions posed by the case study.

Although the OE Documentation Case is the primary final output of an OE case study development, OE Teaching Cases may also be prepared from the data base or abstracted from the Documentation Case. Unlike the Documentation Case, the Teaching Case is primarily descriptive without an analytical or diagnostic statement. Often it may be developed simply to illustrate a particular teaching point. A Teaching Case may be a detailed description of a selected portion of the case history of an OE episode. It is intended to be used as thought-provoking material in classroom situations. Instead of a case writer's diagnostic statement, the descriptive Teaching Case is usually accompanied by supplementary materials such as a list of questions to stimulate classroom discussion or suggestions of how to best present the case in a training session.

OE Teaching Cases will be used in the training of new OESOs at the OETC. They may also be used in other command and staff training programs as part of courses designed to introduce participants to the concepts of organizational effectiveness within the Army.

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### PAYOFF FOR THE OESO

You may be saying to yourself, "Why should I, as an OESO, participate in a case study development? I already put in long hours as an OE practitioner, not to mention time demanded by collateral duties and/or other responsibilities. I understand the needs stated above, but they are aimed at longrange payoffs. Is there any more immediate payoff for me now, right here in my present responsibilities?" The answer is, "Yes." It has been our experience that involvement in developing case studies can significantly increase the professional competence and self-confidence of the OE practitioner.

Although you are already well trained to do your job, participating in the discipline and rigor of case study data recording and writeup will provide you with considerable additional on-the-job training--not only in case writing but in OE methods and analysis of organizational dynamics. Possible the most immediate benefit that you will derive in the process of helping to develop a case is a better understanding of the organization for which you are acting as a case writer or consultant. Gathering, recording, and analyzing case data will complement and add a measure of depth to your understanding of organizational processes and outcomes over and above what normally comes out of an analysis and diagnostic step of the OE consulting process.

As you become more and more familiar with the case development process described in this manual, you will find that the methodology stimulates richer day-to-day reflections on what has taken place and what it all means. In addition to better system understanding, this process of reflection will put you in closer touch with your personal styles and abilities. It will help you to focus and appreciate your strengths and it will help you to assess areas you may wish to develop.

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### CASES AS A TRAINING AID

Beyond the general and personal payoffs already mentioned, you and other practicing OESOs and Army behavioral scientists can learn from the experiences of your counterparts as shared in a common body of case literature. In addition, cases can serve as an invaluable vehicle for the training and development of new OESOs at the OETC. This may well be the most visible training application of the case studies. New OESOs can be better prepared to represent the discipline in actual field situations through the study of competently developed, richly representative case study material in their formal training programs.

### PURPOSE OF THIS MANUAL

This manual is a guide for the development of a case study. You will notice we use the term development and not just case writing. The reason for emphasizing this point is that the great bulk of your time will be spend in preparation for final write-up rather than the actual case writing itself. This manual takes the reader through the overall case development process, offering guidelines and suggesting helpful hints for accomplishing the task more efficiently and effectively.

The manual is divided into five chapters. The first is this introduction. The second chapter discusses the key issues of client system sanction, confidentiality, and anonymity. Chapter III tells how to gather, record, and catalogue case data. Chapters IV and V deal with the writing of the primary Documentation Case and additional Teaching Cases.

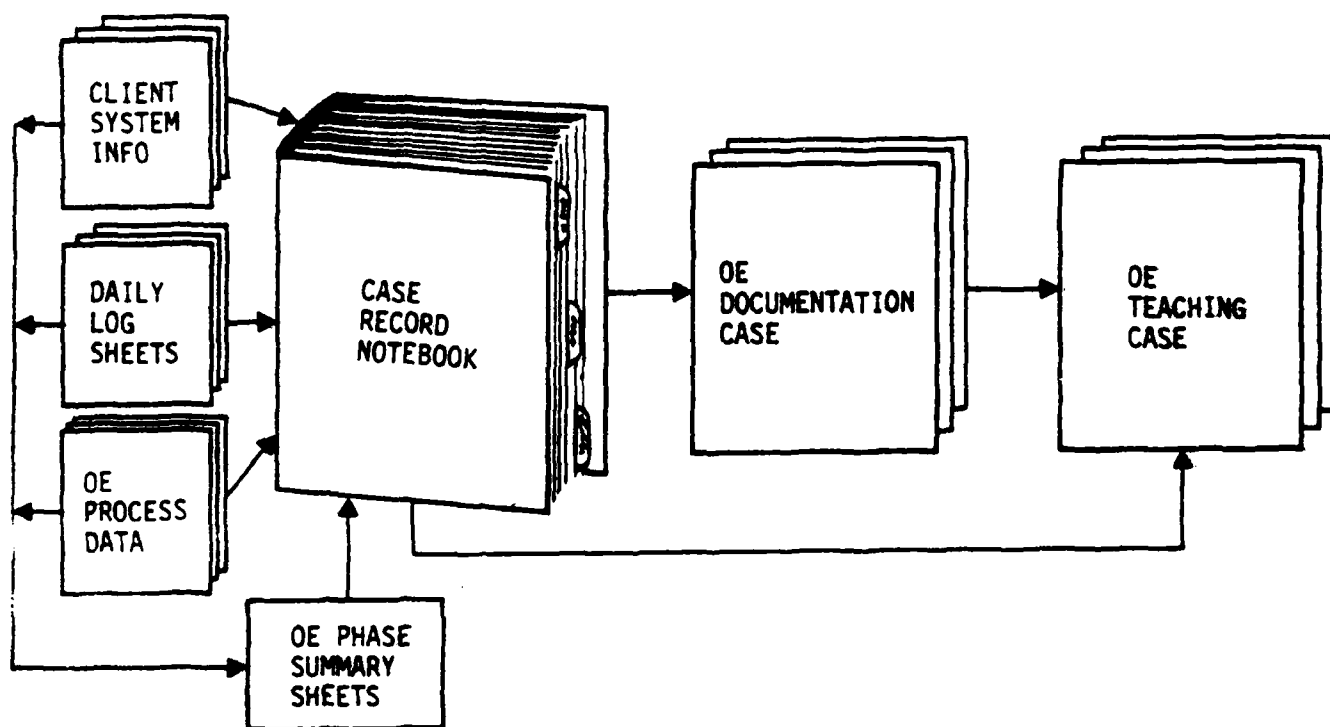
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Exhibit 1 illustrates the case development process described in Chapters II-V. An overview follows.

# EXHIBIT 1

## OE Case Development Process



### Issues of Sanction, Confidentiality, and Anonymity

Case development must never be initiated without the approval of the using organization commander. The commander of the using organization must be in complete accord with possible effects and benefits of having a case generated about the OE episode in his or her command. The commander must also approve of your methods for protecting the confidentiality of the organization and the anonymity of its members. Before anything you write about the episode is made available to anyone else, the commander must review it and officially release it. Furthermore, development and writing of a case study adds to the problems related to confidentiality and anonymity for the OE practitioner in the episode. When you publish the record of an OE episode you will need to disguise data to maintain the level of identity protection promised by the OESO, without compromising the value of the case for teaching, evaluation, and research purposes. In attempting to produce a case which is both a sound piece of research and appropriate for distribution, you will have to consider ethical, legal, and Army constraints. Chapter II provides you with further discussion and guidance in these areas.

### Recording The OE Effort

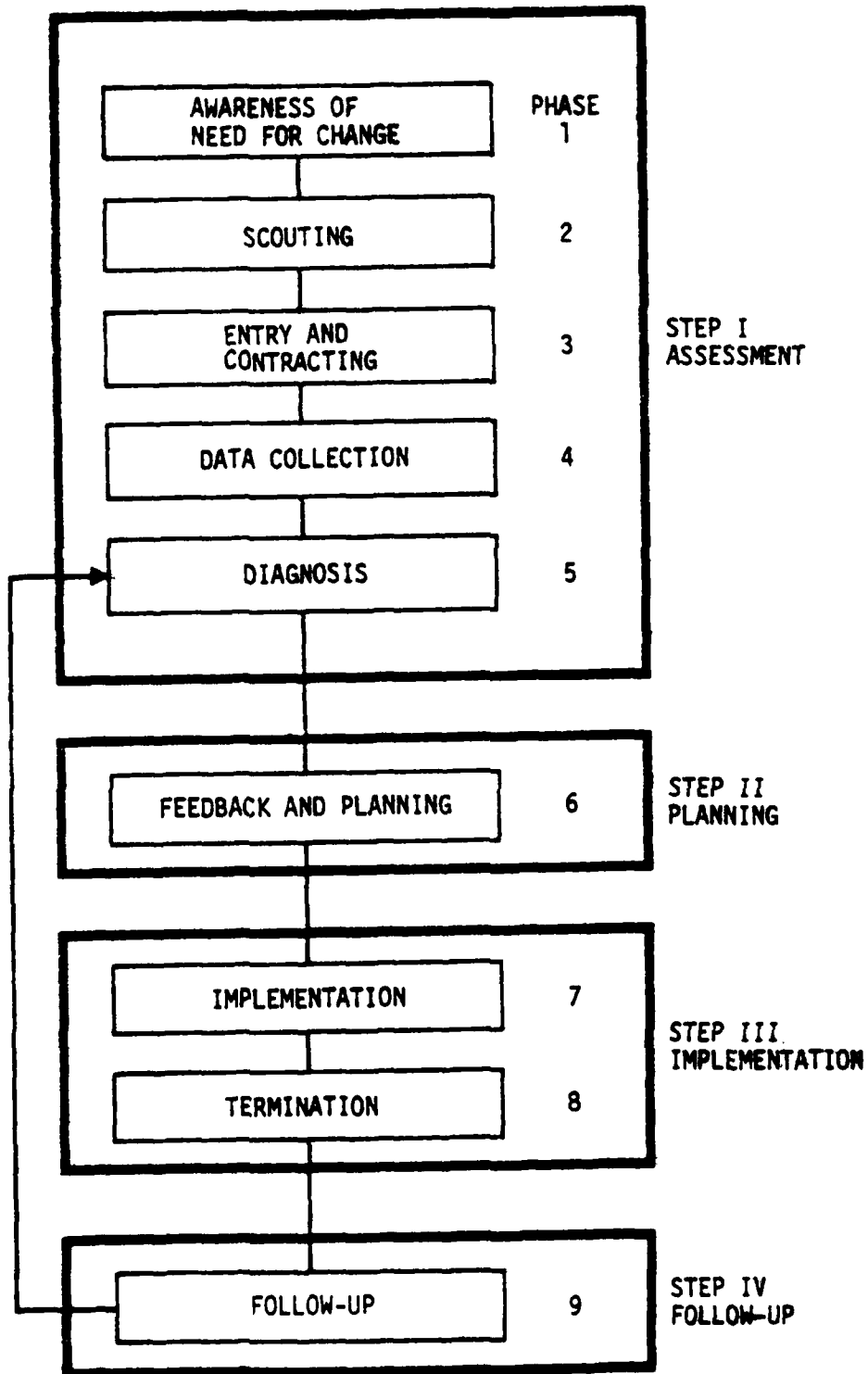
Chapter III provides guidelines for comprehensive and systematic recording of OE activities as well as the recording of your personal involvement as the consultant in the process. The approach includes gathering client system information, capturing day-to-day events and activities on daily log sheets, and generating data on the OE activities using the 4-step OE process (which we have expanded into nine standard phases). Exhibit 2 illustrates the 4-step OE process, further broken down into the 9-phase OE episode process model. This

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EXHIBIT 2

9-Phase OE Episode Process Model



9-phase model provides a useful structure for easily categorizing data collected and a logical organization scheme for the presentation of an OE Documentation Case.

### Case Writing Procedures

Guidance for writing cases from your documented data base is contained in Chapters IV and V. Two types of cases may be developed from your data. One type, which will almost always be developed from your data, is the OE Documentation Case. This is a case that comprehensively describes the entire specific OE process as it occurred in this instance. The Documentation Case format follows the 9-phase process model and provides an accurate record of the total activity of both the client system and the OE practitioners. It is important that these cases have this common standard format for ease of study and comparison as well as for research and evaluation uses. Detailed instructions for writing and format guidance are provided in Chapter IV.

The other type of case, which will sometimes be developed from your documentation is the OE Training Case. These cases will not be standardized, but will vary greatly in form and format, depending on the specific teaching objective of each case. These cases will place into focus select portions of the OE process that are viewed by the writer as having particular value for teaching OE practitioners one aspect or another of the Army organization change process. Guidelines for writing OE Teaching Cases are given in Chapter V.

### IMPACT OF CASE STUDY DEVELOPMENT ON THE OE CLIENT

Because of the positive impact that case study development can have on the OE process, there is significant payoff potential for the

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client system. However, the client system may also experience an additional cost. Whether it is a reality or merely an impression, some clients can experience a case study effort as demanding participation and openness beyond that normally expected for an OE effort. At a minimum, they may be rightfully concerned about subsequent publication of what they expect to be a relatively private endeavor. The fact that the value of an OE case study is well worth the potential extra effort in an OE episode cannot be overemphasized. However, neither can the potential client concerns be underappreciated. Therefore, entry and contracting activities must include explicit consideration of the potential impact of case development activities on both the OE consultant's and the client's time, resources, and privacy. Given that premise, the next chapter of this manual is devoted to the important issues of sanction, confidentiality, and anonymity in the development of an OE case study and the release of case study documentation.

## CHAPTER II. SANCTION, CONFIDENTIALITY AND ANONYMITY

OE activities in any Army organization are only carried out with the explicit approval and sanction of that organization's commander. The same rule must be followed in OE case development. Prior to initiation of any case development activity, the commander must be contacted and his or her specific agreement must be obtained. In obtaining his or her sanction to develop your case, you must clarify for the command the "costs" and "benefits" of case development activity. You must also obtain the commander's concurrence on issues of confidentiality and anonymity and how they will be handled. Finally, you must assure the commander that data related to the OE case will not be released without his or her review and approval.

The issues of confidentiality and anonymity are no different for the OE case writer than for the OESO consultant. The Army's Command and General Staff College reference book, Organizational Effectiveness (USACGSC RB 12-2), stresses that the OESO is neither a "spy" for higher headquarters, nor a spy within the unit with which he or she is working. As a case writer working in a particular organization or section, you must agree to work confidentially and to protect anonymity within the unit. The unit commander always retains full responsibility and authority for the OE process and the dissemination of OE related information beyond the boundaries of his or her unit. When a case study write-up is released, both you and the commander lose control as to who has access to the information contained in that report. Because neither of you can any longer control access to that information, it needs to be presented in a way which continues to respect the promised confidentiality and anonymity without

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losing its educational or scientific usefulness. The very practical reason for protecting confidentiality and anonymity is that to do your job well as either an OESO or an OE case writer, you need access to the information required for effective assessment. To do this you must have the trust and confidence of the people who have that information.

<p><b>IMPORTANT:</b> When an OESO enters an organization he or she essentially promises, "I'm not going to tell your boss what I find, nor will I reveal specific comments from individuals who are your subordinates." What you do as a case writer must not violate that promise!</p>
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#### ETHICAL CONSIDERATIONS

Within the immediate OE episode, the promise of confidentiality and anonymity gains you access to important data and thus is an important OE tool. However, beyond that pragmatic reasoning, there is the matter of professional ethics. An OESO has been invited into the unit by the command to act as a temporary staff officer, to help the commander improve his unit's effectiveness. That commander and the unit personnel have in effect said, "We want to make it better here, we can use help, we accept outside assistance." The commander and unit who ask for OESO support accept the risk of being seen as admitting that they have "problems." However, they have also expressed a willingness to enter into what could be a tough process in order to improve their mission effectiveness and the quality of life in their unit. That willingness to take risks to perform tough self-evaluation and to work toward self-improvement deserves encouragement and protection. Although your commitment of confidentiality to the unit and OESO is not the precise legal equivalent of privileged communication in the lawyer-client relationship, the ethical parallels are obvious.

LEGAL CONSIDERATIONS

Department of the Army regulation AR 600-76, 1 November 1977, reads as follows concerning control of what goes on during an OE episode (including case study development), and regarding the issues of confidentiality and anonymity:

"2-2. OESO and Commander relationships. The OESO, as a full-time staff officer/consultant, provides technical support to commanders requesting OE assistance. The OESO can assist the commander and unit in developing specific and realistic objectives while the OESO and the commander work together to develop mutually understood expectations. The key elements in developing these expectations and fostering the desired OESO-commander relationship include the understanding that:

a. The commander always retains full responsibility and authority over the OE process within his/her unit and can terminate activities at any point.

b. Confidentiality and anonymity (see 2-3 and 2-4) will be respected.

c. OE processes within a unit will be initiated only upon request of that particular unit commander.

2-3 Confidentiality of Unit-Specific Information. Unit-specific information about the assisted unit which has been developed by the OESO in any of the steps of the OE process belongs to the assisted commander. The principle of confidentiality concerning this information is not the legal equivalent of privileged communication involving lawyer-client and exceptions to such confidentiality are (1) where illegal activities are discovered and (2) the revealing of the fact that an OESO is working or has worked with a specific unit. Additionally the factual information gathered about a unit could be subject to release under the Freedom of Information Act (FOIA), and the Army Functional File System within the OESO's office is subject to Inspectors General Inspection. The Inspectors General will be aware of the need for special care with respect to the release or reporting of unit-specific OE information. Likewise since unit-specific information developed in any of the steps of the OE process belongs to the commander, the OESO will ensure that such material remains a part of the assisted unit commander's files and the OESO will

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maintain only the needed "working files" to facilitate the OE process within the assisted unit. It is however, an expectation of the relationship between the OESO and the commander that unit-specific information which is gained by the OESO is not to be released by verbal or written reports or similar means to others, within or outside the organization, unless specifically approved by the assisted commander. It is not an acceptable practice for a senior commander to utilize an OESO as an investigator and/or reporter in relation to subordinate units.

However, information on command-wide trends which does not identify specific units or individuals, may be made available to senior commanders, e.g., general irritants to troop morale.

2-4 Anonymity. Personnel within a unit involved in any of the steps of the OE process have the right of offering their information in any anonymous form. When an individual indicates this is his/her choice, the OESO will ensure that any information provided by this person is not marked in any method by name, code number, or other identifying means. Voluntarily giving up this right at one time within an OE activity does not prevent a person from claiming it at a subsequent time within the OE process. This right of anonymity will be respected by all personnel including commanders and OESOs."

#### KEEPING YOUR DATA SECURE

In normal OE consulting practice the OESO collects data, summarizes it in some general framework, and feeds that summary back to the client. Then the OESO acts as a facilitator while the client digests and responds to the data and elaborates the final outputs. Much of the intermediate information which is generated in the process is not recorded, and neither is the process. At the end of the engagement, the summaries and final outputs remain with the unit commander while much of the base data can be destroyed. The OESO walks away from a normal OE engagement with more or less an empty briefcase. For OE case study development, however, this situation changes.

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When the OE engagement is over and it comes time to write up the case, you, the case writer, will need records to work from. Your memory is not enough. You will need records describing process events and intermediate content forms beyond what would normally be documented in an OE episode. More precision is required in your records because of the time lag between information acquisition and use for the final case write-up. Instead of walking away with an empty briefcase, you will be walking away with a complete OE Case Record Notebook. As data volume, precision, and retention duration increase, so does the security problem. Even though that Notebook is to be maintained as a set of working papers, not part of any official Army filing system open to routine inspection, you must mask the identity of data sources and data subjects as you enter case data in that Notebook. From the first time you put pencil to paper in an OE case development effort you begin to omit or disguise names, places, organization identifications and so forth so that an unplanned glance cannot amount to a break of confidentiality or anonymity.

**IMPORTANT:** Data security begins when and how the data are first recorded!

In building the data base for an OE case study, this maxim is important. If a careful, systematic means of masking identities without destroying usefulness is not incorporated from the very beginning of the engagement, there may be no practical way to adequately assure security of information which becomes part of the case record. Even though a Unit Commander may agree to relax requirements regarding confidentiality, YOU STILL REMAIN PERSONALLY RESPONSIBLE FOR PROTECTING ANONYMITY. It is a responsibility you can never abdicate.

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#### APPROVAL FOR RELEASE OF INFORMATION

The release process begins with the initial negotiations with the commander and OESO for authorization to develop a case from an OE episode. It is critical that these negotiations precede any case development effort and be explicit. More than one good case study has "gone down in flames" because key people in the host environment really did not fully understand the intent to publish. On the other hand, more than one good case study owes its real worth to the fact that the organization's personnel not only understood and agreed to the research, but came to consider themselves partners rather than subjects in the research process.

IMPORTANT: <u>Sanction</u> and <u>partnership</u> are keys to information release!
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When your case is written up, you need to use fictitious unit names, locations, individual names, products, and so forth in order to protect confidentiality and anonymity. Here you could have a real problem. Many Army organizational situations are unique enough that it may be virtually impossible to completely mask identity without ruining scientific value. Your best allies for tackling this problem are the key people involved in the case. After all, the case is not yours alone. At a minimum it must be reviewed and released by the OESO and the commanding officer. Due to the structure of the situation and the information to be included, it may also be prudent to get informal release approval from other key members of the using organization. The commander should decide how much masking is required in the service of confidentiality. The OESO decides whether the case write-up violates any of his or her personal contracts. Identified system members should decide how much masking is required in the service of anonymity. You decide how much is tolerable with respect to the educational and scientific value of

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the case. If there is a match, you have no issue. If there is a mismatch, you have no case study. It is as simple as that. Again, it highlights the importance of early sanctioning and cooperative involvement of the client in the case study development.

After you have received approval on the level and type of masking to be employed, you need to be careful that what you do to disguise the host organization does not inadvertently imply that the case is about some other real Army organizational entity or individuals. A footnote can often be used to avoid this problem. As a standard practice, a footnote, on the first page of the case, should identify whether the names and locations are disguised.

**REMEMBER:** The case, like any OE process data belongs to the unit commander until released!

After informal release authorization is received, the OE case writer should obtain a formal release signed by the commanding officer. This may take some time, so allow for it in your scheduling. Exhibit 3 (on the next page) contains a sample of a release to be completed and signed. If a case write-up is revised after a release has been given, great care must be exercised to be sure that no changes are made which might violate the release privilege. Attachments to the release form should identify any supporting data which is beyond that contained in the case itself. If your means of identifying data sources and subjects in supporting data cannot stand review for release by a unit commander without violating anonymity, these data may not be available to support the case study in the published record.

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EXHIBIT 3



**U. S. ARMY RESEARCH INSTITUTE**

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OF CASE RELEASE AGREEMENT

Date:

*I/we, the undersigned, have read the case entitled.....*  
*.....,*  
*dated:.....,*  
*and prepared by:.....*

*I/we hereby authorize the use of this material by the Army Research Institute,*  
*other Army organizations, Army contractors, and in published case study books*  
*as designated by ART.*

Signature \_\_\_\_\_

Name \_\_\_\_\_  
(please print or type)

Position \_\_\_\_\_

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## CHAPTER III. RECORDING THE OE EFFORT

Data required for case development may also include items different in nature than data used in the OE implementation itself. You will want to gather and record additional information, observations and impressions, not normally recorded by an OESO consultant, in a conscientious and systematic manner. This chapter will assist you, the case writer, (1) by providing guidelines for collecting and organizing case data and (2) by providing guidelines on what kind of information to record and ways in which entries can be made.

The case development process is a two stage process. The first stage concerns the development of a data base, the second relates to using the data base to write up the case study. This chapter deals with the first stage, developing the data base. The next two chapters deal with writing up a case from an existing data base.

It is important to read Chapters III, IV, and V to gain an understanding of the case writing process. Individually each chapter serves as a guide for a particular type of activity (data collection - OE Case documentation - Teaching Case documentation). However, taken collectively these three chapters will provide you with a greater understanding of the case development method and the rationale behind it. This chapter tells you what is important to collect -- Chapters IV and V will give you a much clearer idea of why this data is important and how it is used in the case write-up.

MAINTAINING THE OE CASE RECORD NOTEBOOK

We have used the term "data base" to include all the information you collect and "file" in one or more 3-ring binders if you choose. This binder and its contents or any other form you use, will be referred to as the OE Case Record Notebook.

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This notebook will serve as a file or repository for four categories of data:

- Client System Information: Background information important for understanding the organization (e.g., mission, size, environment, demographics, etc.)
- Daily Log Sheets: Diary of things that happen in the OE episode on a day-to-day basis, if possible, together with OESO or other key participant reflections on the process, case writer observations and general case writer field notes.
- OE Process Data: OE data generated in the normal OE effort (e.g., interview data, survey results summaries for feedback, action plans developed, etc.)
- OE Phase Summary Sheets: Periodic summaries of the OE process, abstracting the key issues, circumstances, actions and outcomes in each of the phases of the OE episode.

A more complete definition of these four categories of data, along with guidelines for generating, capturing, documenting and/or filing of each, is contained in the next four sections of this chapter.

#### CLIENT SYSTEM INFORMATION

This section of the notebook will include the background which is essential for understanding the organization, especially background information that helps to understand the impact of the OE implementation. Much of this information, such as mission, unit type, size and composition, can be derived from organization charts, job descriptions, mission statements, demographic materials records,

and through personal observations. Useful documentation containing this type of information should be obtained and filed in the Client System Information section of the notebook. If printed information is not available, you will have to research it, and record it in your notebook.

Client System Information, which consists of background data about the organization, is probably the most clear-cut category of information to be obtained. Some of these data will fall out of the OE process itself. The case writer may obtain much of these data from the OESO who has most of this information, either from first-hand contact with the organization and/or from prior scouting activities. You, the case writer, because of your understanding of the organization, will be the best judge of what background information the reader of a case study must have in order to understand and fully appreciate the dynamics and outcomes of the OE episode you are describing.

CAUTION: Don't assume that the reader has your knowledge of the organization unless you tell him!

Examples of potentially useful Client System background data organized under related categories are suggested below:

#### ORGANIZATIONAL DEMOGRAPHICS

Size of Unit (e.g., Battalion, Headquarters staff of 500 persons)

Type of Unit (e.g., airborne, infantry, supply depot)

Unit Composition (note proportion of military to civilian, officer to enlisted, minority to non-minority, male to female, etc.)

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## MISSION/OPERATIONS

Mission/Functional Descriptions (from organization's mission statement)

Operating Procedures/Job Descriptions (relevant details of what is done, how, and by whom)

## FORMAL/INFORMAL ORGANIZATION

Nature of Leadership and Management (military/civilian, commander, director)

Reporting Relationships (upward, downward, lateral)

Informal Power Structure (locus of actual influence and power)

Degree of Organizational Autonomy (locus of decision making)

Management Skill Level (how well is organization managed?)

## PERSONNEL DATA

Personnel Policies (formal and tacit)

Career/Training/Growth Potentials (opportunities available)

Personnel Skill Levels (note where skills are not commensurate with requirements of duty)

## ENVIRONMENTAL CONSIDERATIONS

Where is it Situated (on a large base, near a city, out in the boonies, in a foreign country, benefits or privations associated with location)

Relationship of Unit and Civilian Community (e.g., open and friendly versus closed and nonsupportive)

Economic Influences (e.g., cost of living, availability of services and consumer goods)

Geographic, Climatic Conditions of Significance

Description of Installation Facilities (e.g., housing, recreation, work spaces, local area economy)

## GENERAL INFORMATION OF POTENTIAL RELEVANCE

Performance Levels of Unit (how have they done on evaluations/inspections?)

Recent History of Unit (any unusual events?)

Reputation of Unit (how are they described by others?)

Self-Image (how do they see themselves?)

Where Client Systems Information Data are available in print, obtain a copy and insert it in the appropriate section of the notebook. Where such data are embedded in unrelated documents, make copies of the relevant pages for the notebook. Pen in descriptive titles to identify the printed matter, if this is necessary. If printed

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matter is not available, then you should record System Information data that you consider relevant to the understanding of that unit and any special issues pertaining to it.

**KEY SUGGESTION:** When in doubt, collect too much, rather than too little, information

It must be emphasized again that background information is collected only to the extent that it leads to an understanding of the organization, its needs, functioning, effectiveness, and ultimately its changes (or inability to change) based on the OE implementation. What is useful background for one organization is not necessarily useful or helpful for understanding another. In the end, you must make the judgment about what factual background information is useful for understanding the organization and the impact of OE on that organization.

Data listed in this section need not be collected simply because they are listed in this manual. By the same token, do not exclude from consideration background information that you consider useful because it fails to appear here. What is included is just a list of items to help you get started and trigger your own ideas.

**GENERAL RULE:** Collect background information that is factual (or interpretive) when it has potential importance for understanding issues, activities, or outcomes of an OE episode.

#### Filing Client System Information Data Notebook

This information should be kept in a separate section separated by a tab. It also may prove useful to divide this into subsections that

make information easier to locate. Such sections should be tabbed and labeled in terms of classifications (e.g., organization demographics, mission/operations). You are the best judge of classificatory terms that best describe the data that you have collected. You may find the categories suggested in this guide helpful or you may devise ones that you feel better describe the background of the organization in question.

### DAILY LOG SHEETS

The second category of case data, Daily Log Sheets, are to capture important things that happen on a day-to-day basis. Such things as key OE activities of a given day, important outcomes, conversations of special interest or relevance, OESO and other key participant perspectives, impressions, case writer plannings or reflective notes, and so forth are to be recorded on the Log Sheets. These entries will help to provide the continuity or thread that runs through an entire OE implementation.

The essential thing about this source of case data is that the information is recorded daily while it is fresh in your mind. While this may sometimes seem tedious, it is essential. The immediacy and spontaneity of the information recorded here gives it a special value in case development. An event or comment which may not seem significant at the moment may turn out to be an important clue to understanding subsequent events. Major OE activities of the day should always be recorded. Other items will be recorded when you feel they add to the understanding of the day's activities and outcomes, or if they are likely to have impact on future observations (such as hunches you want to check out).

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We strongly recommend that you establish some routine for maintaining these logs. You may decide to set aside a block of time each morning to recap the previous day's happenings. Possibly the end of the day works best for you. The important thing is not to let this slip under the pressure of other responsibilities. It must be captured while still fresh in your mind.

#### ENTRIES IN THE DAILY LOG

Representative type of information that should be recorded each day are as follows:

##### Date of Entry

The date should always be entered. It may also be useful to give time hacks on unusually busy or active days where the entries are more abundant and varied than usual.

##### Specific OE Activities That Took Place

This entry should describe the OE events that took place during that day. Included here are all OESO activities as well as the more formal events involving the OE process. Consider the following:

- What happened
- Who was involved
- Where it took place
- When it took place
- Reason for the activities

##### Case Writer's Perception of Most Significant Outcomes

Some entry about accomplishments or your perception of accomplishments for that day. Issues you might address are:

- Plans that were made
- Conclusions that were reached
- Impasses that took place
- Breakthroughs that occurred

#### Impressions of Important Relationships

Record what appear to you as relationships among key people and evidence that supports these impressions. You may find it useful to note existence of:

- Alliances
- Rivalries
- Antagonism
- Cliques

#### Statement of Reactions That Appeared Significant

You may wish to record and describe individual reactions that were encountered during the day. Note nonverbal reactions you consider interesting and significant.

KEY SUGGESTION: Write it while it's fresh in your mind!
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#### Plans

Note things that you plan to do based on today's happenings -- e.g., hunches you want to follow up, information you want to amplify upon, or verify.

#### Reactions of Key Client System Members

You may wish to record views of key client participants to add perspectives of the OE activities and outcomes for that day.

### Reactions of The Consulting OESO

Your Daily Log entries should also reflect the views of the consulting OESO regarding the activities and outcomes of that day.

### Considerations When Making Entries In The Daily Log

As you have seen, Daily Log entries can range from very specific events that took place to highly subjective entries dealing with your personal feelings or impressions. You also may choose to speculate about feelings of others (e.g., "The CO appeared to be satisfied with the results of the meeting"). It is useful when recording data to reflect as accurately as possible your degree of certainty about that entry. This is often accomplished by simple writing conventions. For example, inferences or speculations about what is happening are permissible as long as they are noted as such and not written as if they are fact. An easy way to signal the use of inferences is to qualify a statement in a manner such as this:

It was my impression that . . . .

I felt that . . . .

It appeared to me that . . . .

I was told that . . . .

When appropriate, give the evidence that led to your hunches, opinions, interpretations, etc. Where inferences are based on observed behaviors, events, or conditions, note the behaviors, events, or conditions that led to the inferences. Quantify where possible.

e.g., "NCO S. has been unavailable on four separate occasions when the OESO attempted to set up interview sessions. This supports my feelings that he is passively resisting attempts to gather data about his shop."

The above statements include an inference about how NCO S. is reacting, gives quantified evidence upon which the inference is based and clearly identifies that these are the feelings (or perceptions) of the observer.

A quote is often useful in support of an impression. The observations in the previous example may have been supported by a quote.

e.g., I overheard NCO S. say, "This OE stuff is a bunch of crap -- Don't these guys know I've got a job to do?"

The use of quotes can also serve other purposes than supporting your impressions. They can be used to express views that are representative of persons within the organization. This requires that you sample enough people to ensure that quotes you record are not biased examples.

Quotes may also have ultimate literary value when it comes to writing the case. If you capture interesting and telling statements when recording, these may later be used to create reader interest in a finished case.

#### Filing Daily Log Sheets In The Notebook

The Daily Log sheets should be kept under a separate tab in chronological order by date. There will probably be no need to file them by any subgrouping.

#### OE PROCESS DATA

The third data category, OE Process Data, unlike other categories described here consists of data developed as part of the C.

implementation rather than for case writing. They are simply the data normally generated for or derived during an OE activity and which are also relevant for your case study writeup. Most probably, the bulk of OE Process Data will consist of diagnostic findings (survey results, results of sensing sessions, interviews, process observations, and other diagnostic information).

In many instances you will be mainly concerned with condensed or summarized versions of OE Process Data. Summary printouts of survey data, tabulated findings from a sensing session, charts and graphs prepared by the consulting OESO are examples of data you will want to obtain and file in a separate section of your Case Record Notebook. If the consulting OESO has prepared a formal presentation for a feedback session, obtain a copy for eventual use in the case writeup.

<p><b>GENERAL RULE:</b> Make use of process data that are already available if you feel they may have value for your case writeup.</p>
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#### OE PHASE SUMMARY SHEETS (PSS)

The fourth category of case data are the OE Phase Summary Sheets. The 9-phase OE process model (page 8) provides the framework for preparing the Phase Summary Sheets (PSS). Record milestones for each of the 9 phases where relevant. The data recorded for each OE phase should include key activities that took place during that phase, participants, outcomes, important agreements, and OESO and other key participant reflections on the process. It also includes case writer interpretations of the impact that outcomes from one phase may have on subsequent phases. Much of the material on the PSS is developed from periodic abstracting of phase oriented

information from the Daily Log sheets. This abstracting is actually the first step in consolidating the data base prior to final writeup of an OE Documentation Case. The organization of the PSS around the 9-phase model will provide standardization among the case writeups. Standardization is needed so that cases developed by different writers can be systematically compared in an overall analysis of OE processes in the Army.

#### Preparation Schedule For PSS

We recommend that, where possible, data about each OE phase be completed at least at the termination of that phase. Delaying the preparation and entry of summaries about an OE phase is likely to compromise their spontaneity. Also, you may find yourself hopelessly behind the power curve if several phases have been completed before you tackle the job of abstracting the data describing them.

#### PSS Entries

OE Phase Summary Sheets include:

- Major Issues Surfaced In Each Phase
- Key Circumstances Encountered In The Phase
- Major Activities Taking Place In Each Phase
- Key Participants and Their Roles
- Major Outcomes of Each Phase

Possibly the simplest way to describe an OE phase process is to review the Daily Log Entries at the end of that phase and synthesize relevant findings contained in the Logs with all other information

available to you. Much of the other information will be in your head. The main task will be getting it down in a usable, well-organized form.

In the remainder of this section we will include representative PSS entries for each of the 9 OE phases. These are not intended to be exhaustive lists. Rather they are included as ideas to trigger your own thoughts.

Phase 1. Awareness of Need For Change

- When client system became aware of need for change
- Who in client system first became aware
- What led to this awareness
- How and when OESO became aware of the need

Phase 2. Scouting

- Prior knowledge of client system
- Scouting procedures that the OESO used
- Information about client's external environment
- Information on similar organizations
- Information about client from external sources
- Impact of information on your OE strategy
- Accuracy of scouting information in light of subsequent knowledge

Phase 3. Entry and Contracting

- Prior contact with client
- Who made the contact? Why?
- OESO's initial perception of client
- OESO's formal and informal relationship to CO
- Client's knowledge/understanding of OE
- Formal agreements that were reached
- Were terms of agreement fully understood?

Phase 4. Data Collection

- Formal data collecting procedures used
- Informal data collecting methods
- Instruments employed
- How administered
- How well data collection effort was supported within client system
- Difficulties encountered, if any
- Type of data obtained
- Quality of data collected

NOTE: Include sample of any instruments used in data collection in workbook. Also data obtained from sensing sessions, interviews, computer printout summaries, etc.

Phase 5. Diagnosis and Feedback

- What was done with collected data?
- What types of analyses were performed?
- Client request for any specific form of diagnostic results (statistical, nonstatistical, etc.)
- How results were prepared for client
- How results were fed back to client system
- Reaction of client to results (any surprises.)
- How results were used for setting up subsequent activities

NOTE: Include contracts in workbook if formal contract was made

Phase 6. Planning

- Plans, goals, objectives that were developed
- How they were developed
- Who was involved?
- What support was demonstrated for the planning process within client system?
- The OESO role in the process
- Final results of the planning process

NOTE: Include material such as objectives, action items, or action plan in notebook.

Phase 7. Implementation

- What implementations were made. Why?
- Who was involved?
- Immediate impact of OE implementation on client system
- Client's perception of implementation impact
- Resistance to change
- Anticipated long range results of OE Implementation
- Needs that were not addressed. Why?
- How well did the implementation address the issues identified in the diagnostic phase?

Phase 8. Termination

- When terminated?
- Under what circumstances?
- Contracts for follow-up?
- Indications of future needs for follow-up activities
- Extent to which client expressed that expectations were met

Phase 9. Follow-Up

- When re-entry took place (elapsed time)
- Major differences in client system (operations, key personnel)

- Conditions of contract
- Client assessment of OE implementation in light of time
- Results of hard measures or diagnosis to assess long range impact of OE effort, if any
- How did this impact (perceived or measured) compare to anticipated results?

#### Filing OE Phase Summary Sheets In The Notebook

As you complete each PSS, place it in the notebook in a section separated by a tab and marked with the phase number and name. If additional information, new insights, or other relevant material becomes available to you at a later date, simply file this into the existing section. Date such materials so that the developmental process for that phase over time is clearly reflected.

#### USE OF CASSETTE RECORDINGS

Many persons prefer use of cassette tapes to record observations, interviews, and meetings. Cassettes can serve as a very helpful tool for data collecting, but they also present some disadvantages if used inappropriately. Cassette recordings may serve you best when you have a great deal of data to capture and a relatively short time to do it. As a data collector, you can make efficient use of your time by use of cassette recordings.

Cassettes are especially useful for capturing dialogue and quotes. They are also helpful for interviews with persons where note-taking might interfere with spontaneity and flow of information. However, they may not work so well when interviewing persons with "mike-fright."

Eventually you will need to transcribe cassettes to printed pages and file them in your notebook. At this time you may have to pay the price for the ease of data collection that recordings afford. Typing from tapes is tedious and time consuming (not to mention costly). Unless resources are available to transcribe cassettes, you had better think twice about using them. Many hours of typing time are required for each hour of recorded time.

If the benefits from use of cassettes outweigh the disadvantages, then do so. But, when you record, do it with restraint. Plan your recording strategy in advance. Structure your interviews tightly -- use relevant portions of this chapter as a guide -- you will find it useful. Stop the recorder when conversations are not germane to the subject at hand. In short, keep your recording to an optimal low level!

**IMPORTANT:** When recording, keep interviews structured and organized. Avoid temptation to over-record.

Consider that when recording, an interviewee may be more open and might possibly divulge more sensitive information than he/she might in an interview where you are taking written notes. This places upon you the responsibility to CAREFULLY SANITIZE the transcripts. A related concern is making certain the person who is transcribing sensitive interviews is totally outside the client system and is a person to whom privacy can be entrusted. Sanitized transcripts must be organized and filed in the relevant section of the Notebook. Unsanitized portions of the transcript must be destroyed and the original cassettes erased

**IMPORTANT:** Safeguard anonymity and confidentiality of data recorded on cassettes.

CLARIFYING YOUR ROLE AND NEGOTIATING SUPPORT

As you have no doubt sensed, the data collection requirements for a case will impose a definite time commitment on your part. Case development activity will work best when you do not try to wear a lead OESO hat and a case writer hat at the same time. A commitment to do a case also requires that some understanding is reached between you and the lead OESO about your respective roles and responsibilities, and additional time commitments required on his part. The client must also be clear about your role and any time demands this will place upon his organization.

ISSUES OF CONFIDENTIALITY: A RESTATEMENT FOR EMPHASIS

In addition to agreeing to a case, the client must fully appreciate what goes into the OE Case Record Notebook including conversations recorded on cassettes. This information, because of the in-depth material it contains, is far more revealing than a case itself.

Concerns for privacy and confidentiality must be observed for Notebook entries. Disguised names, locations, and other measures to ensure confidentiality, may come into play the moment you make your first entry.

Safe storage of the Notebook and recorded cassettes is also a consideration that requires agreement between you and the client. Procedures for storage must be established at the onset of the recording process.

## CHAPTER IV. WRITING THE OE DOCUMENTATION CASE

You are now faced with the task of reducing to useful case form the OE episode information that you have gathered, developed, organized, and stored in your OE Case Record Notebook. Just as there is no one best way to manage an organization, there is no single best way to write a case. However, an OE Documentation Case will be most useful to the Army's OE efforts if, in addition to its accuracy as a chronicle of an OE episode, it can be readily compared with other accounts of OE activities. One common feature of every case will be the inclusion of two elements:

1. Descriptive Information -- a clear account of what happened during each phase of the OE episode. (The 9-phase model of an OE episode provides an outline of what needs to be described.)
2. Interpretive Statements -- the writer's inferences about the relationships between issues, circumstances, actions, and outcomes in the OE episode. They might relate to such things as:
  - What went well or did not go well and why.
  - What unexpected problems came up and what might be done to minimize such problems in the future.
  - What about this case makes it important, or what are the key learnings to be taken away from the case.

The presentation of descriptive information is more or less easily addressed in a guidebook like this. The interpretive data must, of course, represent the case writer's personal reflections - and

therefore this manual limits itself to suggestions and tips for this section of the case-writing effort.

### TIPS ON GETTING STARTED

Before you begin to write, it is useful to consider three basic questions:

1. How can I describe the OE episode as a unified experience, rather than a series of discrete events?
2. Who is my target audience?
3. What major message(s) do I want to communicate?

Let's consider each of these . . . .

#### 1. Conceptualizing the Overall Episode

The data that have been gathered to this point are segmented. Even the OE Phase Summary Sheets look at each of the OE phases as semi-autonomous clusters of activity. For that reason, a necessary first step for the writer is to develop a perspective of the OE episode as a total unified experience. An OE episode cannot be treated as a string of separate unrelated phases. The case writer needs to step back, and conceptualize how the individual phases flow and interrelate -- to get a sense of how activities and events from one phase impacted upon activities and events in subsequent phases, and how the component phases relate to the entire OE experience. This is not automatically supplied by the organization of the raw data as maintained in the Notebook. You, the case writer, will be responsible for the formulation of an overall concept. It will most likely come as an intuitive formulation, primed by a careful review of the contents of your Case Writer's Notebook.

## 2. Identifying the Target Audience

Another prerequisite to the case writeup is determining what about the episode is important to document. While it is possible to write up an OE episode simply "because it is there," it is questionable that a case written around this motivation would have a high degree of utility.

Understanding the audience you are addressing will have a definite impact on which case dynamics you bring into focus or how "messages" that are most appropriate need to be emphasized. By sharing a case experience you provide a learning experience for the reader. What the reader needs to "learn" depends on who he or she is. The lesson for a fellow OESO may be quite different from the lesson to be gained by a line commander or a student of management enrolled in a school.

Your selection of a particular audience will have an impact not only on key messages but on writing styles and use of terminology. If your audience were only to be professional/technical counterparts, you could freely use concepts, models, and inhouse jargon. Since it is not, you should come up with acceptable alternatives. The level of detail and journalistic style needs to be compatible with all the intended readers. You will want to avoid being overly technical when you are interested in reaching a wide audience.

Keep in mind that even if you decide to address a general audience you are still "on the hook" to make certain trade-offs. By becoming overly general you can possibly lose the interest of the professional/technical audience. If you go into frequent explanations or clarifications for a general reader, the writeup may become so tedious that it bores readers, especially those under time pressure. You may decide that you need to keep the level fairly technical. In that case, perhaps you could provide

a glossary for the nontechnical reader, or make heavy use of footnotes. You want to reach as wide an audience as possible. But also, be aware that at certain points you may have to make a decision about which segment of the total audience it is most important to reach. It is always good practice to get people representing different elements of your potential audience to read and comment on your writing style.

### 3. Deciding on Content Emphasis

Given the audience, what are the messages that you feel are most important to convey? That is the next important question. In some instances the importance of a particular message will dictate which portion of the audience most needs to be addressed. In other instances, the case writer's emphasis upon a particular segment of the audience may be the prime consideration for deciding what messages are most relevant to present in a case. You need to decide which is your starting point.

The following examples illustrate the relationship of message to audience segment:

#### AUDIENCE SEGMENT

Commander, Directors,  
Managers, or Other  
Potential Clients

Students/Apprentices  
of OE

#### RELEVANT MESSAGE

What OE is and isn't.  
How it works/what it does.  
Short and long range effects.  
Recognizing need for OE within an  
organization.  
Time/manpower requirements for an  
OE implementation.  
Potential benefits from OE.

Methods/techniques used.  
How methods were implemented.  
Pitfalls that occurred or that were  
avoided.  
Rationale for implementations of  
specific interventions.

AUDIENCE SEGMENT

RELEVANT MESSAGE

Practitioners

Innovative approaches.  
How innovations were received, how they seemed to work.  
Strategies used, how they relate to accepted OE models.  
Unusual, exceptional situations and/or implementations.  
Unexpected outcomes, and why they occurred.  
Interesting techniques/results to be tested by other OESOs.

Higher Commands/  
Funding Agencies

Outcomes in terms of readiness, efficiency, productivity, or potential dollar benefits.  
Outcomes in quality of life variables as expressed in improved retention, reduction in sick days, unauthorized absence.  
Outcomes as measured by safety, reduced accidents, improved maintenance.

These examples point up that an OE Documentation Case, while highly structured, still provides great latitude on the overall focus or emphasis which is possible.

TIPS ON THE WRITEUP

Having carefully reviewed all of the data in your Case Writer's Notebook, developed an overall impression of the case, defined your audience, and decided on the major messages, you are now ready to begin writing. Your case will involve 12 segments - each described below with suggestions on what to consider . . .

- |                                |                         |
|--------------------------------|-------------------------|
| ● TITLE                        | ● DATA COLLECTION       |
| ● PURPOSE                      | ● DIAGNOSIS             |
| ● BACKGROUND OF ORGANIZATION   | ● PLANNING AND FEEDBACK |
| ● AWARENESS OF NEED FOR CHANGE | ● IMPLEMENTATION        |
| ● SCOUTING                     | ● TERMINATION           |
| ● ENTRY AND CONTRACTING        | ● FOLLOW-UP             |

(When appropriate the case writer's analysis should be included as the final segment of the case.)

The episode you are documenting may not require that each of the nine phases of the OE process be written up in equivalent detail. This would be true if any phases have been effectively omitted (e.g., Scouting) or if the case writeup is undertaken before the full OE Implementation is completed (e.g., the episode essentially terminated with Planning, since the actions planned were to take place in normal administrative work and phased in over a long period of time). It may also be useful in specific instances to collapse one or more phases for purposes of a more easily understandable and accurate writeup (e.g., Data Collection and Diagnosis). However, for purposes of this guide, we will assume a complete and comprehensive OE documentation of all nine phases separately.

### Title

A case title should identify the emphasis of a case and stimulate the interest of a prospective reader. Where appropriate, the title should state or suggest (1) type of client organization, (2) major issue(s) dealt with, and/or (3) outcomes. Examples of possible titles are as follows:

- How Accident Rates Were Reduced In A Mechanized Infantry Battalion
- An Effort To Improve Retention In A Maintenance Division
- How An OE Implementation For A Recruiting Command Backfired
- Job Enrichment Was What Was Needed For A Supply Depot.

### Statement of Purpose

The statement of purpose should convey what in particular is important about the case -- the primary focus of the OE episode that is being described., The focus can be on one or more points of particular interest regarding the OE episode. The following are offered as examples:

- Emphasis on the Type of Organization. If the organization is unique or very different in some respect (i.e., composition, mission, structure ) this might provide the main theme or the central point of interest around which the case is developed.
- Emphasis on Issues. Most frequently the issues (i.e., the organization needs which prompt an OE implementation) serve as the central theme around which the case is written. Issues can include retention problems at a hardship duty site, adequate training levels in a national guard unit, military/civilian stresses in a foreign installation, etc.
- Emphasis on Implementation. The implementation itself may be sufficiently interesting and valuable to provide the main focus of a case. This emphasis would be of particular relevance when new and unusual techniques were applied -- particularly an episode that required tailoring of the implementation to a specialized organization need.
- Emphasis on Outcomes. Another logical focus is on the outcome of an OE implementation. Outcomes that were considered highly successful or unsuccessful could warrant emphasis. Unusual or unexpected outcomes might also serve as a focus of the writeup. Outcomes which relate to changes in effectiveness or cost are highly relevant.

- Emphasis on Situational or Moderating Variables. At times an OE episode is influenced (sometimes dramatically) by an abrupt change of events. A new commander, new directives or policies, cutbacks and layoffs, poor marks for a unit from a surprise inspection, or similar events may have a marked impact on an implementation, especially one that is already underway. Unusual events and how they influenced an OE episode can serve as an appropriate focus for a case writeup.

### Background of the Client Organization

Description of an organization, its mission, environment, and demographics is useful in assisting the reader of the case in understanding the organization, its particular needs, and general environmental conditions that influenced the situation and the OE activity. For example, a problem of retention at an isolated hardship location may constitute an entirely different case than one with retention problems where a unit is situated near a central urban location considered to be desirable. Personnel mixes (e.g., non-typical ratio of officers to enlisted, civilian to military, women to men, minority to nonminority) should be described where they relate to the organization needs and/or OE strategies and methods.

The nature and demands of any organization mission and/or its structure may have a direct bearing on the implementation and the ultimate outcomes of an OE episode.

What and how much background information to include is left to the case writer's discretion. The background should clarify an understanding of the organization needs and provide some context for clarifying OE strategies. In short, it should assist the reader to better understand the implications of OE Methods used and results/outcomes.

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HINT: The background should "set the stage"  
for the episode that is about to unfold.

### Awareness of Need for Change

This section should inform the case reader about conditions and events that led to a commander requesting an OESO involvement. Information of relevance here consists of such things as how the commander of an organization knew about OE, what led this person to seek OE as a method for improving the organization, and how the initial contact was made.

It might be important to distinguish the extent to which a commander/director wanted to improve an already "healthy" organization as opposed to a need for OE arising from problems or other pressures within the organization. The case writer should focus on how such factors influence the climate for OE within the recipient organization and upon the early strategies employed by an OESO in response to this climate.

### Scouting

Include a description of any scouting activities that were carried out. This description should point out what information sources were used for scouting and general impressions formed by the OESO on the basis of this information. Most importantly, the case writer should point out ways in which scouting information influenced the OESO's approach to the entry and contracting phase.

### Entry and Contracting

Briefly describe entry and contracting events. Indicate if the OE activities were requested on a voluntary basis by the commander/director of the organization or if pressures were exerted from persons higher in the chain of command. Describe what effect the origin of the request from the using organization had on entry procedures by the OESO. Include terms of the contract agreed to and comment upon anything considered noteworthy about or missing from the contracting procedures. Describe any recontracting activities that were required and what event led to recontracting.

### Data Collection

The data collection writeup needs to describe what types of data were collected; what instruments were used; rationale behind the use of interviews, instruments, etc.; sampling considerations; scheduling considerations; and quality control and tabulation procedures. Include comment upon the overall approach (e.g., an iterative approach where findings from one data collection stage influence subsequent collections versus a one-shot collection approach). Detail the use of any innovative and experimental instruments and methods that were employed. You should also describe noteworthy reactions to the data collecting effort by effected personnel. Since data collection is also an "OE action" in the client system, it will have an impact like any OE intervention.

<p><b>HINT:</b> The use of footnotes, tables, and appendices help to get in the needed detail without destroying the continuity of the message.</p>
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## Diagnosis

Writeup of the diagnosis phase includes documentation of two equally important, distinct facets: (1) diagnostic methods and (2) results or findings.

The procedural or methodological description should reflect what was done. If joint OESO-client procedures were used, the steps should be described.

In the case of computerized data processing, brief mention should be made about the processors used, how data were sliced, what statistics were employed, and why. Details about diagnostic methods should be commensurate with the extent to which they are unique, unusual, or support the major themes of the case. Particular emphasis should be placed on methods that are tailored to particular organizational situations.

The information about the diagnostic findings should describe the strengths and weaknesses observed within the organization, issues around which the energy of command personnel are centered, and how these issues influence organization effectiveness. Where possible, include summary findings from interviews, surveys, or other measures that support the diagnosis. Present quantified data in charts and graphs where possible. Describe the evidence upon which interpretations are based whether the evidence is quantitative (e.g., survey results) or qualitative (e.g., verbal comments, observed nonverbal reactions, unobtrusive measures). Any strategies for data feedback based on diagnostic finding are relevant to include in this section.

REMEMBER: Footnotes and appendices can be a real help.
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When the writeup of this phase is completed, the reader should have a clear idea of what the OESO's diagnosis of the organization is, what methods the OESO used in arriving at that diagnosis, and evidence that was accepted in support of the diagnosis (i.e., type and content of data used). New and unusual methods or findings must be stressed since the sharing of this type of information is most useful in helping other OESOs to widen their knowledge and improve their skills.

### Feedback and Planning

Often the single most critical step in an OE episode is data feedback. Feedback of data often results in strong reactions (confusions, doubt, disbelief, denial). How data is fed back is often critical to the successful continuation of subsequent OE activity.

The writeup of feedback activities should give the reader a clear idea of the overall feedback strategy, who received feedback information, reactions to feedback, how this information was disseminated throughout the organization, and most importantly, the role of the OESO in this activity.

Describe how feedback information was used for planning activities. Did the planning of subsequent activities appear to be a logical outcome of feedback information? Was it joint OESO-client planning? OESO planning and client acceptance? Client without OESO participation? Or what? Document the plans that were made, how the planning activity was carried out, who the key participants were, what role the OESO had throughout the planning process, and assumed reasons for it being done the way it was.

NOTE: Feedback is an important process.  
Let the reader know what happened.

### Implementation

A writeup of the implementation phase should describe activities that were conducted, who designed and led these activities, who the key participants were, and the apparent outcome of this phase - was there evaluation?

In addition to this description, it is important to tie the implementation phase to previous activities. The case writeup should discuss how (if at all) the implementation was geared to issues and needs that led to the OE activity within the organization in the first place. The case writeup should also describe how diagnostic findings and formal planning related to the actual conduct of the implementation phase.

Outcomes of the implementation phase should be given along with the basis for assuming these outcomes. Include the impressions of outcomes by the OESO and also key persons in the command. The commander's perception of success is particularly appropriate. Note the extent to which perceptions of success by these sets of persons are compatible.

IMPORTANT: Describe evidence upon which measures of outcomes are based. For example, are they based on subjective impressions or quantified measures? How and when were the data collected and evaluated? By whom?

Describe the views of the OESO and commander regarding future changes within the organization. Do they anticipate that the implementation will continue to strengthen the organization in the future? How was the implementation managed while the OESO was in the system? How is it to be managed (who, through what situations and process, etc.) after the OESO is out of the system?

### Termination

Writeup of the termination phase should be relatively short, simple, and straightforward. It needs to describe what took place, i.e., the manner in which the OESO left the system. In addition to describing termination events, comment upon how the commander felt towards the OE process and about results that were achieved. Did he or she feel that any issues were left unresolved? Note the OESO's feelings and views of the process and result. Describe any agreements reached about follow-up activities.

### Follow-Up

Because of a time lapse between the termination and follow-up phases it is possible, even likely, that a case will have been written before the follow-up phase has been initiated. In this event, plans for follow-up (or why no plans were made) should be described and discussed in this section of the case.

Describe the process and the essential agreements reached for follow-up activity including how the decisions were reached. Note actions to be taken and persons assigned to responsibilities. (Often the actual happenings of the follow-up phase are added to an already written OE Documentaion Case as an epilogue to the study.)

When completed (as part of the body of a case or as an epilogue to a case written up earlier), this phase of the writeup needs to describe how the OESO reentered the system and to specify the time lapse from Termination to Follow-Up. Describe any differences from the essential agreements reached earlier for follow-up activities. State the commander's current view of the impact of the OE episode on the organization. Note the extent to which this view of the organization's effectiveness is compatible with views at the time of termination. What changes did the OESO find when he/she reentered?

Approach this section as a miniature version of an OE Documentation Case, using the 9-phase OE process model as a guiding outline. If follow-up activity consists of a relatively short implementation, it may be described in this section. On the other hand, if follow-up goes back into a data collection, diagnosis, implementation cycle, the extensiveness of this activity may require a new and different OE Documentation Case altogether. In this event, simply complete your case writeup with the statement of future needs and descriptions of follow-up plans.

<p>CAUTION: Don't try to shoehorn in a new case study as a follow-up section.</p>
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#### SOME GENERAL WRITING CONSIDERATIONS

The most important aspects of writing an OE Documentation Case are completeness and accuracy. Your writeup should be complete, but not overly detailed. Present all of the data relevant to the major and secondary issues, actions, and outcomes of the OE episode described. Data must be accurately described so that OE Documentation Cases will provide a reliable data base for further training, research, and evaluation efforts by the Army.

Writing an OE Documentation Case should be no different than any other writing. Your presentation should use good English, and be free of errors in grammar, punctuation, or the use of words. For this reason, it may be helpful to have your case edited by one of your colleagues before it is reproduced in its final form.

#### Use of Past Tense

An OE Documentation Case should be written in the past tense. This protects the organization, if it is identified, by indicating that situations described in the case may not necessarily exist today. If the past tense is not used, it would be wise to indicate that the case was written as of a specified date.

#### Use of Exhibits and Appendix

While it is important that you include all of the relevant information, it is also important that the case be as short as possible, clearly written, direct, and informative. To that end you should tabulate all data that can be presented in table form. Tables, charts, graphs, maps, etc., should be used as exhibits in your case whenever they add to clarity and brevity of your presentation. These should be numbered consecutively in the order of their appearance in the case. Specific reference to the source or sources of the material should be given at the bottom of each exhibit if this can be done without compromising confidentiality. Materials which interrupt the flow or are too long for inclusion in the text, but are important for full disclosure of the episode being described in the case, should be presented in appendices. Appendices are designated by capital letters in the sequence they are referred to in the case ("Appendix A").

### Writing Style

Writing style is your choice of words and the way in which they are arranged in relationship to each other. Your style may be direct, it may be indirect, it may be "chatty" or serious -- according to your choice of words and grammatical constructions. Choice of style is in your hands. All writers have their own styles, and often find it difficult to write consistently in any other one. But one thing is certain; writing to explain is far superior to writing to impress. A good maxim for case writing is "Keep it simple, but informative."

### Facts, Assumptions, and Inferences

All relevant facts that are available ought to be included in your case. When certain facts are not available, it is often significant to say so. In the OE Documentation Case we want to capture not only the facts of what happened in your client's system, but also the client's, the OESO's and especially your interpretation.

<p><b>IMPORTANT:</b> Opinions, assumptions, and inferences are an important part of the case. However, it is critical that they be so identified and not reported as facts.</p>
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## CHAPTER V. WRITING THE OE TEACHING CASE

Writing an OE Teaching Case can be an exciting and challenging experience. You are faced with the task of taking a documented OE episode and reducing it to a meaningful learning experience for some large population. That population may include experienced OE practitioners, OE practitioners in training, or operating Army managers and commanders. While it is recognized that there are many different ways to write a Teaching Case, the purpose of this chapter is to provide some fundamentals that may help you write the case more effectively.

PURPOSE OF THE TEACHING CASE

An OE Teaching Case is mainly intended as a vehicle for instruction. It is an academic rather than research or evaluation tool. This emphasis influences its content, format, style, length, and completeness. The Documentation Case described in the preceding chapter is like a photographic exposition of a complete OE episode; the Teaching Case will generally focus on some part(s) of that process. The issues around which a Teaching Case are written should be closely tied to specific teaching objectives and the case should be written to bring about some specific learning outcome. A measure of suspense may often be required to generate student interest and to facilitate differing interpretations of depicted problems. Yet sufficient information must be included to permit analysis and problem solving exercises around the case. To make a Teaching Case an effective vehicle for academic purposes, you will need considerable creativity and more literary skills than may be required for writing an OE Documentation Case.

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Just to avoid any possible misunderstanding, we are not implying by all this that OE Documentation Cases are not suited to training purposes. A Documentation Case may prove to be useful for instruction, but since it is not developed with specific training goals in mind it is not as effective a tool for teaching as the Teaching Case. (This will become more apparent when we discuss the uses and formats of Teaching Cases.)

#### THE STARTING POINT: AUDIENCE AND OBJECTIVES

Before writing the actual case, it is useful to be clear on the answer to two related questions:

1. What kind of people make up the population of learners?  
and
2. What are the desired instructional outcomes?

Some examples might suggest the range of possibilities for building the case:

- If you are writing up a case for training of experienced OESOs, you might reflect on happenings that will be of some special interest to OE consultants. This may include outcomes that came as a surprise, new techniques tried that were particularly successful (or unsuccessful), situations that contributed to the personal or professional growth of the OESO, or situations that OESOs wished they had been informed about during their training.
- Some out-of-ordinary event in a phase of the OE episode or some unusual discovery can have a high value for teaching purposes (e.g., a misunderstanding with the CO in the midst

of the implementation stemming from conflicting expectations--including what had happened during the contracting phase that may have led to the misunderstanding).

- Perhaps you have an unusual case where apparent causes to a problem were later discovered to be something very different from what they appeared to be on the surface. In such a Teaching Case, the learning goals could be centered on what deceptive cues influenced the consultant's thinking and what events or information led to the consultant's subsequent discovery of the underlying problem.
- If you are writing a case as an instruction for new OESOs, the objectives around which your case is written should relate to the outcomes you wish to achieve in the course or lesson that you are instructing. The objectives may relate to some specific phase of the OE process if the module you are teaching is focused on a specific phase (.e.g, scouting, entry, data collection, etc.). Again, an objective may be centered around some specific set of skills that you want to see developed if the module you are teaching is skills training oriented.
- The case may be aimed mainly at prospective line managers such as Academy cadets or persons in an Army management training course. For this type of student, the case objective might more appropriately emphasize the successful outcomes to an OE implementation to make the prospective manager aware of ways in which OE can enhance the operation of an organization he or she may eventually be heading.

### WRITING GUIDELINES FOR TEACHING CASES

Objective: To write a case with relevant data scattered, forcing the student to arrive at his/her own analysis and action plan. It is written more like a "mystery" for a student detective to unravel than a narrative description of what happened.

Types: Many varieties of OE teaching cases. For example:

1. Short critical incident at just one point in change process such as feedback of survey results and reactions.
2. Sequence case (A), (B), etc. (A) may describe organizational situation, (B) the change process used, (C) results after changes introduced.
3. Comprehensive "total system" case showing all of what is in #2.
4. Parts of the process, such as (A) and (B) only in #2 or (B) and (C) in #2.

"Typical"      Introductory paragraph usually presents one of the  
Format      following situations:

1. A key factor concerned about understanding some facet of the situation--such as wondering "what went wrong?"
2. Description of situation
  - a. History of unit

- b. People involved
  - c. Task performed
  - d. Organization structure
  - e. Prior performance
3. Data with views on the "problem"
- a. Interview comments from people at different levels or across functions
  - b. Observations about how people behave
4. Examples of a few critical incidents, such as:
- a. Behavior in a meeting
  - b. Survey and feedback questionnaire data
  - c. Interactions at work
5. Conclusion

Actor is contemplating some action, which is described.

SOME TIPS FOR THE CASE WRITER BEFORE WRITING

1. Try to analyze the case yourself first before you begin writing. Check it out with a colleague too!
2. "Hide" the analysis in the data which you should scatter around the case.
3. Focus your case around an interesting issue so as to gain the student's interest.

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4. Let others read initial drafts and react; often it takes three or four drafts.
5. Write the case descriptively; don't interpret much for the student.
6. The best cases are usually ones the case writer doesn't even understand too well--they are perplexing and complex!
7. Use lots of quotes from people, such as Capt. A said, "....."  
Or several NCOs made comments such as, "....."
8. Use "hard" data too, such as performance results, organization charts, description of tasks to be performed.
9. Disguise names, location of unit, type of unit--then state this in footnote on first page.
10. Keep the case short!

#### SUPPLEMENTARY MATERIALS

Teaching Case normally requires supplementary information such as an instructor's guide that stands as a separate entity, or appendices attached to the actual case writeup. Both attached and separate supplementary materials when included should support the instructional goals of that case.

Determining what is appropriate in supplements is a fairly straightforward matter once the writer has determined how the information is intended to support the teaching objectives of the case. The two types of supplements and the representative contents of each are provided next.

### Instructor's Guide

Information useful for instructors includes:

- Teaching Objectives. The guide should contain one or more clear statements of what learning changes the case is expected to bring about.
- Possible Study Questions or Problems. Questions or problems relevant to a case can be helpful in clarifying the tasks and problems for the student. Problems are useful in directing the attention of the student around issues and problems that are consistent with objectives of a case.
- Analysis Process. The instructor's guide may include analysis procedures recommended for students. The case writer may point out central issues that students should grasp and solutions that they should arrive at quickly. Subtle points or stumbling blocks that lead to a more complex form of case analysis should also be pointed out by the writer. Recommended analytic procedures may be included if considered appropriate.
- Teaching Strategy. Any recommended teaching strategy for the instructor should be included in the guide. The strategy can include recommended time allocations for various tasks or problems associated with the case, the possible role of the instructor in the teaching case, and even recommended actions that the instructor might take from time to time.

- Topics for Classroom Discussion. Discussion topics when included may be helpful to structure the case study analysis process and to create some degree of uniformity on how students approach the problem for subsequent classroom discussion.
- Additional Case Information. Certain information is intentionally excluded from the student's OE Teaching Case for reasons related to learning. However, making additional information about a case available to instructors may help them in guiding the case study process. Such information can include relevant client systems data, survey summary results, other diagnostic information, or even views of the case writer about the organization in question.

#### Supplementary Student Material

Because the Teaching Case is sometimes written as a sort of "mystery," the writer must exercise care when including supplementary information in order to avoid "giving the plot away." However, if the writer feels that additional information is not at cross purposes with the case and is supportive of teaching objectives such information may be provided as an appendix.

Supplements of possible value for students include:

- Teaching points or objectives of the case.
- Problems that will facilitate a case study and analysis.
- Additional data about the organization or the OE process as reference sources used for doing a case analysis.

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How to include supplementary information is largely a matter of choice. However, the type of supplement you choose will have some impact on the teaching strategy and instructional approach that is taken. For example, if additional information is available only in an Instructor's Guide, the instructor has much greater control on how this information is fed back to the students; therefore, a greater emphasis is placed on the instructor's role in the case teaching process. An instructor may supply or withhold information based on a judgment of how that information benefits the student in a particular learning situation. Information provided by an instructor may serve to clarify the case for students or create an even greater puzzle again depending on what the instructor wishes to accomplish.

Supplemental material when attached to the case gives the student much greater control over the learning process. For this reason the cases including attached supplemental material can have greater value for teaching OESOs outside a classroom environment.